



JOINT ASSIGNMENT

MARC R. MAYBERG

WHEREAS, MATTHEW A. HOWARD, ~~MARC R. MAYBERG~~, M. SEAN GRADY, ROGERS C. RITTER and GEORGE T. GILLIES, hereinafter referred to as the ASSIGNORS, have jointly invented a certain improvement relating to MAGNETIC STEREOTACTIC SYSTEM FOR TREATMENT DELIVERY, for which they jointly executed on even date an application for Letters Patent to be filed in the United States Patent Office;

AND WHEREAS, THE UNIVERSITY OF VIRGINIA ALUMNI PATENTS FOUNDATION, of 1224 West Main Street, Charlottesville, Virginia 22901, hereinafter referred to as the ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and application, including any and all divisions and continuations thereof, and any and all Letters Patents which may be granted therefor, including any and all renewals, reissues, and prolongations thereof.

NOW, THIS WITNESSETH that for and in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt whereof is hereby acknowledged, said ASSIGNORS hereby assign, sell, and transfer to said ASSIGNEE, its assigns and legal representatives, the entire and exclusive right, title, and interest in and to said invention and application, including any and all divisions and continuations thereof, and any and all Letters Patents which may be granted therefor, including any and all renewals, reissues, and prolongations thereof, said ASSIGNEE and its assigns and legal representatives to have, hold, exercise, and enjoy the said invention and application, including any and all divisions and continuations thereof, and any and all Letters Patents which may be granted therefor, including any and all renewals, reissues, and prolongations thereof, with all the rights, powers, privileges, and advantages in anywise arising from or appertaining thereto, for and during the term or terms of any and all such Letters Patents when granted, including any and all renewals, reissues, and prolongations thereof, for the use and benefit of said ASSIGNEE and its assigns and legal representatives, in as ample and beneficial a manner to all intents and purposes as said ASSIGNORS might or could have held and enjoyed the same, if this assignment had not been made.

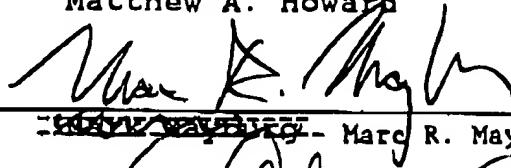
AND said ASSIGNORS hereby agree to execute all papers that may be necessary to file applications in the United States and foreign countries for said invention and to assign the same to said ASSIGNEE, or any assignee acquiring title to said invention, and to execute any other papers that may be needed in connection with filing said application and securing Letters Patent thereon.

AND said ASSIGNORS authorize and request the Commissioner of Patents to issue Letters Patent on said application, and on any and all divisions and continuations thereof, to said ASSIGNEE, its assigns and legal representatives, in accordance herewith.

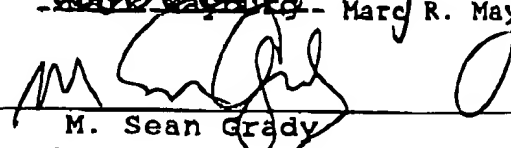
IN TESTIMONY WHEREOF, this assignment is executed by
said ASSIGNORS this 23 day of OCTOBER, 1989, at



Matthew A. Howard




~~David Mayberg~~ Marc R. Mayberg



M. Sean Grady



Rogers C. Ritter



George T. Gillies

DEC 30 1989
PATENT & TRADEMARK
OFFICE

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION The University of Virginia Alumni Patents Foundation
ADDRESS OF ORGANIZATION 1224 West Main Street, Towers Office Building, Suite 6-211
Charlottesville, VA 22903

TYPE OF ORGANIZATION

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled MAGNETIC STEREOTACTIC SYSTEM FOR TREATMENT DELIVERY by inventor(s) Matthew A. Howard, Mark Mayburg, M. Sean Grady, Rogers C. Ritter and * George T. Gillies described in

- ☒ the specification filed herewith
☐ application serial no. _____
☐ patent no. _____, issued _____, filed _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION
NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Ralph D. Pinto
TITLE IN ORGANIZATION Executive Director
ADDRESS OF PERSON SIGNING 1224 West Main Street, Towers Office Building, Suite 6-211
Charlottesville, VA 22903

SIGNATURE [Signature] DATE Sept 13, 1989



PATENT

Application of: Howard, et al.

Serial Number: 09/114,414

Attorney's Docket No.: 3176-5280

Filed: July 13, 1998

For: Magnetic Stereotactic System for Treatment Delivery

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR 1.9(f) and 1.27(c)]
SMALL BUSINESS CONCERN

I hereby declare that I am:

 x an officer of the small business concern identified below:

NAME OF CONCERN: Stereotaxis, Inc.

ADDRESS: 4041 Forest Park Avenue

St. Louis, Missouri 63108

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled Magnetic Stereotactic System for Treatment Delivery, by: The University of Virginia Patent Foundation

described in:

 the specification filed herewith.

 x Application Serial No. 09/114,414, filed July 13, 1998.

 Patent No. , issued .

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION


I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)].

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Bevil J. Hogg
TITLE IN ORGANIZATION: President and CEO
ADDRESS OF PERSON SIGNING: 4041 Forest Park Avenue
St. Louis, Missouri 63108

SIGNATURE: _____

DATE: _____

 12/4/98



DECLARATION FOR PATENT APPLICATION

01/2 No. 0881-0011 (12/2/1)

Docket No. UVA

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **MAGNETIC STEREOTACTIC SYSTEM FOR TREATMENT DELIVERY**, the specification of which

(check one) ☒ is attached hereto,☐ was filed on

Application Serial No. _____

and was amended on _____

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

(Number)	(Country)	(Day/Month/Year Filed)	Priority Claimed
			Yes No
			Yes No
			Yes No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing Date)	(Status—patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

James C. Wray, Reg. No. 22,693
Address all telephone calls to James C. Wray
Address all correspondence to James C. Wray at telephone no. 703-442-4800
1493 Chain Bridge Rd., Suite 200
McLean, Virginia 22101

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Matthew A. Howard
Inventor's signature [Signature] Date 10/11/89
Residence Seattle, Washington Citizenship U.S.A.
Post Office Address 2816 34th Avenue S.
Seattle, WA 98144

Full name of second joint inventor Mark Mayberg
Second inventor's signature [Signature] Date 10/10/89
Residence Seattle, Washington Citizenship U.S.A.
Post Office Address 405 39th Avenue E.
Seattle, WA 98112

Full name of third inventor M. Sean Grady
Inventor's signature [Signature] Date 10/10/89
Residence Seattle, Washington Citizenship U.S.A.
Post Office Address 405 39th Avenue E. 4500 98th Ave SE
Seattle, WA 98112

Full name of fourth inventor Rogers C. Ritter
Inventor's signature [Signature] Date Sept. 18, 1989
Residence Charlottesville, Virginia Citizenship U.S.A.
Post Office Address 1224 West Main Street
Charlottesville, VA 22903

Full name of fifth inventor George T. Gillies
Inventor's signature [Signature] Date 9-22-89
Residence Charlottesville, Virginia Citizenship U.S.A.
Post Office Address 1224 West Main Street
Charlottesville, VA 22903